



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of

Ballard

Serial No. 09/454,492

Group Art Unit: 3624

Filed: December 6, 1999

Examiner: Weisberger

For: Remote Image Capture with Centralized Processing and Storage

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

Dear Sir:

Further in response to the Office Action mailed October 8, 2002, and as mentioned in the Response to Requirement for Information mailed December 17, 2003, Applicant wishes to bring certain items of information to the attention of the Patent and Trademark Office relative to this application.

These items of information are listed on the enclosed PTO/SB/08.

A copy of each reference that was not previously of record in the parent to this application is enclosed. Each reference is in the English language. As such, no additional statement of relevance is provided in this paper.¹

01/20/2004 SSANDARA 00000007 09454492

01 FC:1806

180.00 0p

¹ 37 C.F.R. §1.98(a)(3).

Because this information is submitted after receipt of a first Office Action on the merits, but before a final rejection or allowance, payment of the fee due under 37 C.F.R. §1.17(p) is enclosed, in the form of our firm check, and the enclosed Fee Transmittal (PTO/SB/17), which authorizes any additional fee to be charged to deposit account 01-1615.²

Many of these items of information were brought to the attention of the assignee by adverse parties in litigation, relative to patents through which this application claims priority. The relevant lawsuits were specified in the Response to Requirement for Information mailed by the undersigned on December 17, 2003. In addition, to completely and fully comply with its duty of candor and good faith, and to completely and fully serve the public interest by ensuring that the Patent and Trademark Office is fully aware of and can evaluate the teachings of all information material to patentability of the claims in this case,³ Applicant submits the following documents filed by various ones of the defendants in the ongoing litigation, specifying their assertions regarding claims of the patents in suit that are invalid:

1. "Preliminary Invalidity Contentions of Defendants J.P. Morgan Chase & Co. and JPMorgan Chase Bank", in *DataTreasury Corp. v. J.P. Morgan Chase & Co., et al.*, Cause No. 502CV124, In the United States District Court for the Eastern District of Texas, Texarkana Division.
2. "Defendants Ingenico S.A. and Ingenico, Inc.'s Preliminary Invalidity Contentions", in *DataTreasury Corp. v. Ingenico S.A., et al.*, Cause No. 502CV095, In the United States District Court for the Eastern District of Texas, Texarkana Division.
3. "Defendants' Preliminary Invalidity Construction Pursuant to Patent Local Rules 3-3 and 3-4", in *DataTreasury Corp. v. First Data Corporation, et al.*, Cause No. 502CV094, In the United States District Court for the Eastern District of Texas, Texarkana Division.

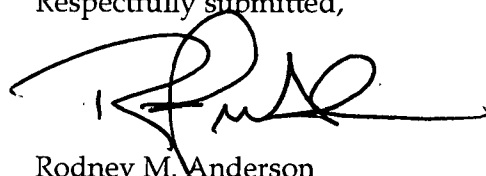
² 37 C.F.R. §1.97(c).

³ MPEP §2001.06(c).

By citing these items of information, Applicant does not admit that any of this information is, or is considered to be, material to the patentability of any of the claims of this application.⁴

Consideration of this information in this application is respectfully requested.

Respectfully submitted,

A handwritten signature in black ink, appearing to read 'Rodney M. Anderson', written over a horizontal line.

Rodney M. Anderson

Registry No. 31,939

Attorney for Applicant

Anderson, Levine & Lintel, L.L.P.

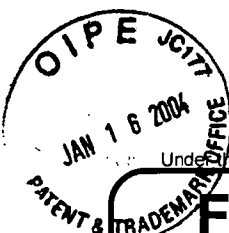
14785 Preston Road, Suite 650

Dallas, Texas 75254

(972) 664-9554

January 13, 2004

⁴ 37 C.F.R. §1.97(h).



3624 #

PTO/SB/17 (10-03)

Approved for use through 07/31/2006. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 180

Complete if Known

Application Number	09/454,492
Filing Date	December 6, 1999
First Named Inventor	Ballard
Examiner Name	Weisberger
Art Unit	3624
Attorney Docket No.	DATA.P01CIPDIV

METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit Account Number
Deposit Account Name

01-1615

Anderson, Levine & Lintel

The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) or any underpayment of fee(s)

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	770	2001	385	Utility filing fee	
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
SUBTOTAL (1)				(\$) 0	

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims		Extra Claims		Fee from below		Fee Paid
Independent	Multiple Dependent	-20** =	-3** =	X	X	

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1202	18	2202	9	Claims in excess of 20	
1201	86	2201	43	Independent claims in excess of 3	
1203	290	2203	145	Multiple dependent claim, if not paid	
1204	86	2204	43	** Reissue independent claims over original patent	
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)				(\$) 0	

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for <i>ex parte</i> reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	180
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	2809	385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 180

SUBMITTED BY

Name (Print/Type) Rodney M. Anderson

Registration No. (Attorney/Agent)

31,939

(Complete if applicable)

Telephone 972.664.9554

Signature

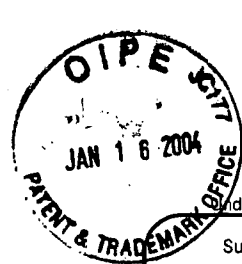
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13 January 2004

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PTO/SB/08A (08-03)

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Substitute for form 1449/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Complete if Known

Application Number	09/454,492
Filing Date	Dec. 6, 1999
First Named Inventor	Ballard
Art Unit	3624
Examiner Name	Weisberger
Attorney Docket Number	DATA.P01CIPDIV

Sheet 1 of 18

U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
		US- 4205780	06-03-1980	Burns et al.	all
		US- 5528705	06-18-1996	Reasoner, Jr. et al.	all
		US- 4321672	03-23-1982	Braun et al.	all
		US- 4404649	09-13-1983	Nunley et al.	all
		US- 4500750	02-19-1985	Elander et al.	all
		US- 4578530	03-25-1986	Zeldler	all
		US- 4912762	03-27-1990	Lee et al.	all
		US- 4922503	05-01-1990	Leone	all
		US- 4941125	07-10-1990	Boyne	all
		US- 5054096	10-01-1991	Beizer	all
		US- 5170466	12-08-1992	Rogan et al.	all
		US- 5235433	08-10-1993	Clarkson et al.	all
		US- 5287497	02-15-1994	Behera	all
		US- 5321816	06-14-1994	Rogan et al.	all
		US- 5373550	12-13-1994	Campbell et al.	all
		US- 5473143	12-05-1995	Vak et al.	all
		US- 5760916	06-02-1998	Dellert et al.	all
		US- 5784610	07-21-1998	Copeland, III et al	all
		US- 5790260	08-04-1998	Myers	all

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T ⁶
		Country Code ³ Number ⁴ Kind Code ⁵ (if known)				
		WO 97/22060	06-19-1997	Financial ...	all	
		WO 97/07468	02-27-1997	Citibank, N.A.	all	

Examiner
Signature

/Richard Weisberger/

Date
Considered

07/13/2009

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PTO/SB/08A (08-03)

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Sheet 2 of 18

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		Number-Kind Code ² (if known)			
		US- 5910988	06-08-1999	Ballard	all
		US- 5926288	07-20-1999	Dellert et al.	all
		US- 5973731	10-26-1999	Schwab	all
		US- 6108104	08-22-2000	Tesavis	all
		US- 6145738	11-14-2000	Stinson et al.	all
		US- 5168444	12-01-1992	Cukor et al.	all
		US- 5708810	01-13-1998	Kern et al.	all
		US- 5870725	02-09-1999	Bellinger et al.	all
		US- 5930778	07-27-1999	Geer	all
		US- 6115509	09-05-2000	Yeskel	all
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		Country Code ³ Number ⁴ Kind Code ⁵ (if known)				
		CA 2131667	06-30-1995	IBM	all	
		EP 0661654-A2	07-05-1995	IBM	all	

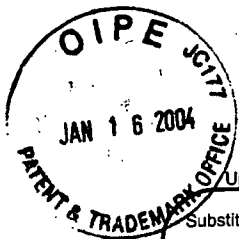
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**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

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Sheet

3

of

18

Complete if Known

Application Number

09/454,492

Filing Date

Dec. 6, 1999

First Named Inventor

Ballard

Art Unit

3624

Examiner Name

Weisberger

Attorney Docket Number

DATA.P01CIPDIV

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		Fisher, M. "IBM, Customers continue work on document image processor." Datamation, Vol. 34, No. 19	10/1/88
		Friedman, D. "Nixdorf Computer Introduces DCPA Image - A Sophisticated Document Image Processing System with Unique Capabilities." PR Newswire.	8/15/89
		Kniskern, J. "Engineering a visionary solution." Datamation, Vol. 36, No. 8	4/15/90
		Banet, B. "Document image processing, 1991: The imaging edge." Seybold Rep. on Publishing Sys., Vol. 20, No. 19	6/24/91
		Mantel, K. "Notes Gets in the Picture." Datamation.	7/15/92
		Cooney, M. "Frame relay comes to Computer extenders." Network World.	6/28/93
		Buchok, J. "OCR gets processing credit." Computing Canada, Vol. 19, No. 26	12/20/93
		Fitch, T. "Check image capture speeds up positive pay reconciliation." Corporate Cashflow.	2/1995
		Evankovich, S. "Computer earns MCI "Level 1" approval; Computer's industry exclusive native Frame Relay interface passes test for interoperability with MCI's Frame Relay services." Business Wire	4/12/95

Examiner
Signature

Date

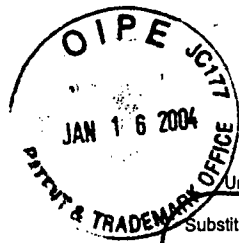
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PTO/SB/088 (08-03)

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**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

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Sheet

4

of

18

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Application Number

09/454,492

Filing Date

Dec. 6, 1999

First Named Inventor

Ballard

Art Unit

3624

Examiner Name

Weisberger

Attorney Docket Number

DATA.P01CIPDIV

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		Marjanovic, S. "Mich. National streamlines imaging with IBM system. (check imaging)." American Banker, Vol. 160, No. 176.	9/13/95
		"Bank Automation News." Finance & Banking Newsletter, Vol. 9, Iss. 6.	4/2/97
		Article: "NSSDC's Mass Storage System Evolves" found on the web at URL: http://nssdc.gsfc.nasa.gov/nssdc_news/march95/09_i_behnke_0395.html .	3/1995
		"Data Compression Over Frame Relay Implementation Agreement," downloaded at http://www.frforum.com/5000/Approved/FRF.9/frf9.pdf .	1/22/96
		"Cisco Partners with AT&T on Network Switch Manufacturing," downloaded at http://www.lucent.com/press/0995/950926.mma.html .	9/26/95
		IBM Systems Journal, Vol. 29, No. 3, 1990 (entire journal)	1990
		Dinan, Painter, & Rodite, "ImagePlus High Performance Transaction System," IBM Systems Journal, Vol. 29, No. 3, 1990, pp. 421-34.	1990
		Plesums, et al., "Large Scale Image Systems: USAA Case Study," IBM Systems Journal, Vol. 29, No. 3, 1990.	1990
		Electronic Imaging '88 - Advanced Printing of Paper Summaries, Vol. 1, Anaheim, California	3/1988
		IBM 3174 Network Processor, description located at http://ecc400.com/ibm/controllers/314prod.htm	

Examiner
Signature

Date

Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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Art Unit	3624
Examiner Name	Weisberger
Attorney Docket Number	DATA.P01CIPDIV

Sheet	5	of	18
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NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		Prince, C., "High Volume Data Capture Sans Paper," Bank Systems Technology, p.35.	5/1996
		Schwartz, J., "Banks to Test Imaging for Clearing Checks," Communications Week, p.35.	9/14/92
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet

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of

18

Complete if Known

Application Number

09/454,492

Filing Date

Dec. 6, 1999

First Named Inventor

Ballard

Art Unit

3624

Examiner Name

Weisberger

Attorney Docket Number

DATA.P01CIPDIV

NON PATENT LITERATURE DOCUMENTS

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		Application Number	09/454,492
		Filing Date	Dec. 6, 1999
		First Named Inventor	Ballard
		Art Unit	3624
		Examiner Name	Weisberger
Sheet 7 of 18	Attorney Docket Number	DATA.P01CIPDIV	

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		Stellwag, C., "New ATM from AT&T GIS features automated document processing." AT&T News Release	11/29/94
		Stellwag, C., Sanders, G., and Bochonko, K. "NCR and Signet Banking to provide item processing services." AT&T News Release	7/13/93
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Sheet

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09/454,492

Filing Date

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First Named Inventor

Ballard

Art Unit

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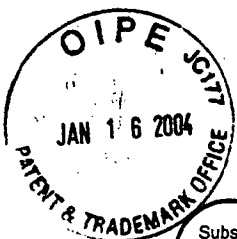
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Filing Date	Dec. 6, 1999
First Named Inventor	Ballard
Art Unit	3624
Examiner Name	Weisberger
Attorney Docket Number	DATA.P01CIPDIV

Sheet	9	of	18
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		PACESPRO[1].doc - Microsoft Word Doc - "PACES Paperless Automated Check Exchange & Settlement - Project Proposal	4/23/98
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		"FSTC Demonstrates Interbank Check Image Pilot; Multi-Vendor System Speeds check Clearing, Cuts Fraud - FSTC Pilot Lays Foundation for Paper Check Truncation" www.fstc.org/projects/imaging/public/information.cfm	12/12/95
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		Ansi6v4[1].ppt - PowerPoint Presentation - FSTC - Financial Services Technology Consortium	9/30-10/1/96

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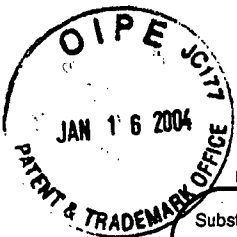
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		No1016v4[1].ppt – PowerPoint Presentation – FSTC – Interbank Check Image Project	9/30-10/1/96
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Sheet 11 of 18

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Art Unit	3624
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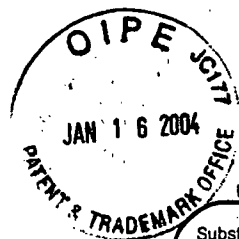
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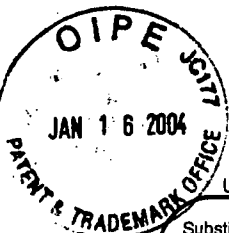
Examiner Signature	Date Considered
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)		Complete If Known	
		Application Number	09/454,492
		Filing Date	Dec. 6, 1999
		First Named Inventor	Ballard
		Art Unit	3624
		Examiner Name	Weisberger
Sheet 13 of 18	Attorney Docket Number	DATA.P01CIPDIV	

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		Evans, J. "The end of the paper wait: document imaging. (includes related articles on successful document imaging implementations at Borgess Medical Center, the Huntington Internal Medicine Group, the University of Alabama Health Services Foundation and Quest Diagnostics) (Industry Trend or Event)." Health management Technology, Vol. 18, No. 2, p. 16(5)	2/1997
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		Anonymous. "Imaging vendors shape processing." Banking Management, Vol. 69, No. 4, p. 29	4/1993
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		Filing Date	Dec. 6, 1999
		First Named Inventor	Ballard
		Art Unit	3624
		Examiner Name	Weisberger
Sheet 14 of 18	Attorney Docket Number	DATA.P01CIPDIV	

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		"Chemical Chooses IBM Check Imaging (Chemical Banking Corp to install IBM's ImagePlus High Performance Transaction System to process 9 mil checks daily)." Bank Technology News, Vol. 8, No. 9, p. 11 9/1995	
		Bartholomew, D. "More Checks on Checks - Bank of America plan to convert to an IBM imaging system that screens checks faster and more thoroughly (spotlight)." INFORMATIONWEEK, 1994, No. 504, p. 32 12/5/94	
		"BancTec Inc. has received another order for its image statement processing product. (First National Bank of Chicago orders 11/13/91	
		Joint Marketing & Referral Agreement Between ACS Image Solutions, Inc. and JPMORGAN Chase Bank	
		Article: "lbamed, A Load Balancing Name Server Written in Perl" located on the web at URL "www.stanford.edu/~schemers/docs/lbamed/lbamed.html". 9/17/95	

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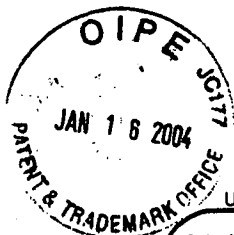
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Application Number	09/454,492
Filing Date	Dec. 6, 1999
First Named Inventor	Ballard
Art Unit	3624
Examiner Name	Weisberger
Attorney Docket Number	DATA.P01CIPDIV

Sheet	15	of	18
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		Roldan, Mariano, Financial Services Technology Consortium, "PACES Paperless Automated Check Exchange & Settlement Project Overview, PACES Planning Meeting, New York City," (Dec. 19, 1997).	
		"The Check Information Age: Vision Executive Summary Image Archive Forum, Payment System Task Force" (Jan. 27, 1998).	
		Image Archive Forum Flow Nos. 1-13 (Sept. 1997).	
		Image Archive Forum Methodology and Value (Sept. 19, 1997).	
		Image Archive Forum, "Payments Systems Task Force Economic Framework," (Jan. 27, 1998).	
		"Checks & Checking: Check Imaging at the Teller Station (Alliance Integration & Services Introduces Imaging System that can be Installed at Bank Teller Stations)," <i>Bank Technology News</i> , vol. 9, no. 10 at 37 (Oct. 1996).	
		"Computerm Enables Boatmen's Bancshares to Execute Remote Check Imaging," <i>PR Newswire</i> at 408LAM013 (April 8, 1996).	
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		"Verifone Software Links PCs to the Point of Sale," <i>American Banker</i> , vol. 158, no. 156 at 13A(1) (Aug. 16, 1993).	
		"Computerm Eases Remote Imaging," <i>American Banker</i> , vol. 158, no. 156 at 13A(1) (Aug. 16, 1993).	

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Attorney Docket Number	DATA.P01CIPDIV

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		"Computerm Announces Remote Check Imaging Support for VMC 8200 High-Speed Channel Extension System," <i>PR Newswire</i> at 408LAM012 (April 8, 1996).	
		McGinn, Janice, "IBM ImagePlus High Performance Transaction System (IBM Harnesses Image Processing to Make Its 389x/XP Cheque Processors More Efficient)," <i>Computergram International</i> , No. 1389 at CG103210008 (March 21, 1990).	
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		Cortese, Amy, "Image Yields Interest at Banks (Collaboration Results in Imaging System to Automate Check Processing)," <i>ComputerWorld</i> , at 6 (March 19, 1990).	
		Press Release, "NCR Document Management System Includes Kodak, Ricoh Products," (April 6, 1993).	
		Press Release, "NCR Introduces Scalable Image Item Processing Solution," (Jan. 19, 1996).	
		"Regions Bank Selects ImageSoft to Provide Imaging Solutions," <i>Business Wire</i> at 9161220 (Sept. 16, 1997).	
		"Softchec Licenses 'Envision' Image Solution to West Suburban Bank, <i>PR Newswire</i> at 116SETUU002 (Jan. 16, 1996).	
		"AT&T Partners with Fiserv to Form Single Source Provider for Leading Image Item Processing Solutions," <i>PR Newswire</i> , at 913CL011 (Sept. 13, 1995).	

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		"Unix-Based Image Statement Software," <i>ABA Banking Journal</i> , vol. 85, no. 2 at 80(1) (Feb. 1993).	
		Marjanovic, Steven, "Home Loan Bank to Offer Check-Image Statements to Members' Customers," <i>American Banker</i> , vol. 159, no. 248 at 14(1) (Dec. 29, 1994).	
		"Unisys Wins Contract to Supply Imaging Solution to Chase Manhattan/FISERV Check Processing Alliance," <i>Business Wire</i> , at 6121175 (June 12, 1995).	
		"Chase's New Image," <i>Information Week</i> , no. 517 at 14 (March 6, 1995).	

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		American National Standard For Financial Image Interchange ("ANSI"); <u>Architecture, Overview and System Design Specification, X9.xx 0.7. Dated: 1994</u>	
		Financial Services Technology Consortium ("FSTC") Interbank Check <u>Imaging Project White Paper. Dated: June 20, 1994</u>	
		<u>FSTC Pilot Overview. Dated: April 3, 1995</u>	
		<u>FSTC Check Image Interchange Project. Dated: May 25, 1995</u>	
		FSTC Image Interchange Project Pilot Phase 1A: <u>Preliminary Architecture and Project Plan. Dated: June 30, 1995</u>	
		<u>FSTC Image Quality Functional Requirements. Dated: July 26, 1995</u>	
		FSTC Compilation of ANSI X9.46 <u>Data Structure Reference. Dated: July 31, 1995</u>	
		IBM Electronic Payment Systems Support/Check Processing Control Systems: <u>Progress Reference and Operations Manual. Dated: June, 1986</u>	
		IBM Product Announcement 190-040 <u>(IBM 3898 Image Processor). Dated: March 13, 1990</u>	

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